

Congress of the United States
House of Representatives
Washington, D.C. 20515


December 5, 1985

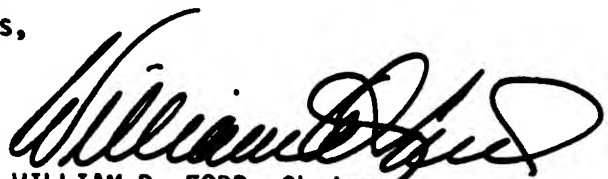
In April 1984, the General Accounting Office conducted a survey in conjunction with the Post Office and Civil Service Committee's consideration of H.R. 4681, the Federal Polygraph Limitation and Anticensorship Act of 1984. That bill was approved by the committee but was not acted upon by the full House prior to adjournment of the 98th Congress. Similar legislation (H.R. 39) has been introduced in this Congress and again referred to the Post Office and Civil Service Committee.

We have requested the General Accounting Office to update its survey for calendar years 1984 and 1985. We would appreciate your response to this questionnaire by January 31, 1986.

Thank you very much for your prompt attention.

Sincerely yours,


JACK BROOKS, Chairman
Committee on Government
Operations


WILLIAM D. FORD, Chairman
Committee on Post Office
and Civil Service

REQUEST FOR INFORMATION RELATIVE TO
INFORMATION AND PERSONNEL SECURITY

Introduction:

Because the information must be obtained quickly, this questionnaire has been designed to collect the data.

Throughout this questionnaire, we are talking about the number of people, for that reason, the number of positions should not be converted to full-time equivalents.

When an estimate is given for any answer, please precede the estimated number with the letter "E".

Unless otherwise specified, the requested information should be as of December 31, 1984, and December 31, 1985.

Please be specific when indicating whether an answer is classified.

If any information will not be obtainable within the specified timeframe, please send that information which is available and indicate a date by which we may expect the remainder.

If you have any questions, please call Mr. Jim Reid, FTS 275-5352 or Mr. Irv Boker, FTS 275-3973. The completed questionnaire should be sent to:

Mr. Irv Boker, Room 4100
U. S. General Accounting Office
Washington, D.C. 20548

QUESTIONNAIRE

1. Approximately how many people were employed by your agency as of December 31, 1984 and December 31, 1985? (The total should include both full- and part-time employees. If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

	<u>1984</u>	<u>1985</u>
Employees	_____	_____

2. As of December 31, 1984 and December 31, 1985, approximately how many of your employees and how many employees of your contractors were cleared for access to classified information? Please count the individuals based on their highest level of clearance. If the exact number is not known, please give your agency's best estimate. (Enter the number on each line. If none, enter "0").

	<u>1984</u>	<u>1985</u>
<u>Highest ;</u> <u>Level of Clearance</u>	<u>Agency</u> <u>Employees</u>	<u>Contractor</u> <u>Employees</u>
TOP SECRET	_____	_____
SECRET	_____	_____
CONFIDENTIAL	_____	_____

3. How many SCI and non-SCI special access programs did your agency have at the close of calendar years 1984 and 1985? How many billets were authorized for these programs and how many agency and contractor employees were granted special access authorizations for them for each of those years? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

	<u>1984</u>	<u>1985</u>
	<u>SCI</u>	<u>Non-SCI</u>
Programs	_____	_____
Billets	_____	_____
Agency employees	_____	_____
Contractor employees	_____	_____

4. How many personnel security clearances, SCI accesses and non-SCI special access program (SAP) accesses did you grant to your employees and employees of your contractors during calendar years 1984 and 1985? (If the exact number is not available, please give your agency's best estimate and indicate such by preceding the number with the letter "E". Do not include clearances granted to contractor employees by the Defense Investigative Service.)

Level of Clearance Granted	<u>1984</u>		<u>1985</u>	
	<u>Agency</u>	<u>Contractor</u>	<u>Agency</u>	<u>Contractor</u>
TOP SECRET	_____	_____	_____	_____
SECRET	_____	_____	_____	_____
CONFIDENTIAL	_____	_____	_____	_____
TOTAL	=====	=====	=====	=====
SCI Access	_____	_____	_____	_____
Non-SCI Special Access Program	_____	_____	_____	_____

5. How many requests for security clearances and SCI and non-SCI SAP accesses were in process (incomplete National Agency Checks, Background Investigations, adjudications, etc.) at the end of calendar years 1984 and 1985? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

Level of Requests for Clearances and Accessess in Process	<u>1984</u>		<u>1985</u>	
	<u>Agency</u>	<u>Contractor</u>	<u>Agency</u>	<u>Contractor</u>
TOP SECRET	_____	_____	_____	_____
SECRET	_____	_____	_____	_____
CONFIDENTIAL	_____	_____	_____	_____
TOTAL	=====	=====	=====	=====
SCI Access	_____	_____	_____	_____
Non-SCI SAP Access	_____	_____	_____	_____

6. What was the average time (in calendar days) required for you or another agency to complete the investigative work incident to the granting of a top secret and secret security clearance and SCI and non-SCI SAP access during calendar years 1984 and 1985? (Do not include the time involved in the preparation and internal processing of the personnel security questionnaire and in the subsequent adjudicative process. Include, if appropriate, the average time taken by the Defense Investigative Service to process your requests for clearances for contractor employees.)

<u>Level of Clearance</u>	<u>1984</u>		<u>1985</u>	
	<u>Agency</u>	<u>Contractor</u>	<u>Agency</u>	<u>Contractor</u>
TOP SECRET	_____	_____	_____	_____
SECRET	_____	_____	_____	_____
SCI Access	_____	_____	_____	_____
Non-SCI SAP access	_____	_____	_____	_____

7. How many requests for your employees and employees of your contractors for security clearances and SCI and non-SCI SAP access were denied during calendar years 1984 and 1985? How many clearances and SCI and non-SCI SAP accesses were revoked for reasons of risk or potential risk to national security or administratively because of insufficient need. Identify those requests for clearances or revocations for contractor employees administered by the Defense Investigative Service. (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

Level of Clearance and Access

<u>Agency</u>	<u>Level of Clearance and Access</u>					<u>Total</u>
	<u>Top Secret</u>	<u>Secret</u>	<u>Confidential</u>	<u>SCI access</u>	<u>Non-SCI SAP access</u>	
<u>1984</u>						
Number of Denials	_____	_____	_____	_____	_____	_____
Revocations-Because of:						
Risk or Potential Risk	_____	_____	_____	_____	_____	_____
Administrative-No Further Need	_____	_____	_____	_____	_____	_____
Total Number of Revocations	=====	=====	=====	=====	=====	=====
<u>1985</u>						
Number of Denials	_____	_____	_____	_____	_____	_____
Revocations - Because of:						
Risk or Potential Risk	_____	_____	_____	_____	_____	_____
Administrative-No Further Need	_____	_____	_____	_____	_____	_____
Total Number of Revocations	=====	=====	=====	=====	=====	=====

Contractor	<u>Top Secret</u>	<u>Secret</u>	<u>Confidential</u>	<u>SCI access</u>	<u>Non-SCI SAP access</u>	<u>Total</u>
<u>1984</u>						
Number of Denials	_____	_____	_____	_____	_____	_____
Revocations-Because of:						
Risk or Potential Risk	_____	_____	_____	_____	_____	_____
Administrative-No Further Need	_____	_____	_____	_____	_____	_____
Total Number of Revocations	=====	=====	=====	=====	=====	=====
<u>1985</u>						
Number of Denials	_____	_____	_____	_____	_____	_____
Revocations - Because of:						
Risk or Potential Risk	_____	_____	_____	_____	_____	_____
Administrative-No Further Need	_____	_____	_____	_____	_____	_____
Total Number of Revocations	=====	=====	=====	=====	=====	=====

8. Please provide copies of your agency's policies and procedures governing the periodic reinvestigation of individuals after the initial granting of clearances and SCI access. How many completed reinvestigations of any type did your agency conduct or have conducted for it during calendar years 1984 and 1985? What was the average time required for completion of the reinvestigation? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

Level of Clearance and Access

	<u>Top Secret</u>	<u>Secret</u>	<u>Confidential</u>	<u>SCI access</u>	<u>Non-SCI SAP access</u>	<u>Total</u>
<u>1984</u>						
Number of Completed Reinvestigations:						
Agency	_____	_____	_____	_____	_____	_____
Contractor	_____	_____	_____	_____	_____	_____
Average Time Required:						
Agency	_____	_____	_____	_____	_____	_____
Contractor	_____	_____	_____	_____	_____	_____

	<u>Top Secret</u>	<u>Secret</u>	<u>Confidential</u>	<u>SCI access</u>	<u>Non-SCI SAP access</u>	<u>Total</u>
<u>1985</u>						
Number of Completed Reinvestigations:						
Agency	_____	_____	_____	_____	_____	_____
Contractor	_____	_____	_____	_____	_____	_____
Average Time Required:						
Agency	_____	_____	_____	_____	_____	_____
Contractor	_____	_____	_____	_____	_____	_____

9. Approximately how much did you spend in calendar years 1984 and 1985 for security clearance investigations, reinvestigations, special investigations, and adjudications, including inhouse costs, reimbursements to other federal agencies, and contract costs? Please identify specific costs if possible (i.e. adjudicative costs, Defense Investigative Service vs. Office of Personnel Management, etc.).

	<u>1984</u>	<u>1985</u>
Inhouse costs		
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
Total	=====	=====
Reimbursement to other agencies		
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
Total	=====	=====
Contracted investigative services		
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
Total	=====	=====

10. How many employees of your agency were authorized to classify information (either original or derivative authority) at the top secret level and below and at the secret level and below as of December 31, 1984, and December 31, 1985? Please count the individuals based on their highest level of authority. (If the exact number is not known, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

Level of Information
ClassifiedAgency
Classifiers19841985Original
AuthorityDerivative
AuthorityOriginal
AuthorityDerivative
Authority

TOP SECRET and below

SECRET and below

11. Does your agency require its classifiers to be certified? Does your agency require training for classifiers? If you answer yes, please provide the requirements of the certification and syllabus of the training requirements.

Certification
of ClassifiersTraining Required
for Classifiers

_____ yes

_____ yes

_____ no

_____ no

12. Does your agency use classification guides? If you answer yes, how many were issued as of December 31, 1984, and December 31, 1985?

Use of Classification
GuidesNumber of Classification
Guides Issued as of

_____ yes

December 31, 1984December 31, 1985

_____ no

13. Did your agency employ polygraph operators during calendar years 1984 and 1985?

19841985

Yes

No

14. As of December 31, 1984 and December 31, 1985, how many polygraph operators were employed by your agency? How many contracts for polygraph examinations did you have?

19841985

Agency employees

Number of contracts

15. Do you have plans to employ any additional polygraph operators or contract out for services? If so, why and how many?

_____ Agency employees

_____ Contractors

16. As of December 31, 1984 and December 31, 1985, how many polygraph machines, if any, did your agency possess? How many were procured during calendar years 1984 and 1985? Do you have plans to procure any additional polygraph machines, and if so, how many?

	<u>1984</u>	<u>1985</u>
Number of polygraph machines on hand at end of the year	_____	_____
Number of polygraph machines procured during the year	_____	_____
Plans to procure additional polygraph machines		
_____ yes (number of machines _____)		
_____ no		

17. Approximately how many polygraph tests were conducted of your employees or applicants for employment by, or for, your agency? Please list by the indicated categories for each of the listed calendar years. If they were conducted by another agency or contractor, so indicate. Identify how many tests resulted in security clearance action (denial, revocation, suspension, other) and explain.

Reason for Polygraph Test

	<u>1984</u>		<u>1985</u>	
<u>Criminal or specific incident investigations</u>	<u>Number of Tests</u>	<u>Clearance Action</u>	<u>Number of Tests</u>	<u>Clearance Action</u>
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
<u>Pre-employment screening</u>				
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____

	<u>1984</u>		<u>1985</u>	
	<u>Number of</u>	<u>Clearance</u>	<u>Number of</u>	<u>Clearance</u>
<u>Pre-access screening</u>	<u>Tests</u>	<u>Action</u>	<u>Tests</u>	<u>Action</u>
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
<u>Subsequent screening</u>				
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
<u>Other (explain)</u>	_____	_____	_____	_____
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
Total (Do not double count)				
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
Total	=====	=====	=====	=====

Explanation of Clearance Actions:

18. Under what authority, regulations and rules are your polygraph examinations conducted? Please list citations and attach copies. Highlight any changes since 1983. Also, indicate any plans to revise these governing regulations proposed at this time. Please describe the changes and attach copies of these proposals, if available. In particular, describe which employees, and indicate how many, would be potentially covered under each type of polygraph examination (specific incident investigation, screening or other uses (described) and the projected number of exams to be given in each category.
19. Please provide the qualifications required of individuals employed as polygraph examiners by your agency.
20. Does your agency require any of your employees to submit to any pre-publication review procedure (other than to review official statements on behalf of the agency)?

_____ Yes

_____ No (Please skip to Question 26)

21. Please describe these pre-publication review programs. How long have they been used by your agency? Please cite and attach any applicable regulations and/or forms used for their implementation and indicate the authority for those agency programs.

22. Of the pre-publication review programs implemented through agreements and contracts, please indicate how many of your employees are covered by your pre-publication review procedures by each separate program and how many have signed as of December 31, 1985?

<u>Program(s)</u>	<u>Number Who Signed</u>	<u>Number of Covered Employees</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

23. Approximately how many books, articles, speeches, and other materials, by category, were reviewed during your agency's pre-publication review process (described in Question 20) for calendar years 1984 and 1985? If possible, identify the reason for pre-publication review. If the number is not known, please give your agency's best estimate. Please enter the number on each line. (If none, enter "0").

<u>Reason for Pre-Publication Review</u>	<u>Type of Material</u>			
	<u>Books</u>	<u>Articles</u>	<u>Speeches</u>	<u>Other (Please Specify)</u>
<u>1984</u>				
Regulation	_____	_____	_____	_____
SCI Agreement	_____	_____	_____	_____
Non-SCI SAP Agreements	_____	_____	_____	_____
Other (please specify)	_____	_____	_____	_____
<u>1985</u>				
Regulation	_____	_____	_____	_____
SCI Agreement	_____	_____	_____	_____
Non-SCI SAP Agreements	_____	_____	_____	_____
Other (please specify)	_____	_____	_____	_____

24. Please estimate the average number of working days that elapse from the date of receipt of a request for pre-publication review of each type of document below, to the date the requestor is informed of the final results. If you have not had experience in reviewing a type of document, enter "NA" on the applicable line. (Enter estimated average number of working days on each line).

Estimated Average Working Days

_____ Books
 _____ Articles
 _____ Speeches
 _____ Other (please specify)

25. During calendar years 1984 and 1985, approximately how many employees were assigned, and working days were used for pre-publication review as described in Question 20?

	<u>1984</u>	<u>1985</u>
<u>Estimated number of Employees assigned</u>	_____	_____
<u>Estimated number of working days used</u>	_____	_____

26. How many employees of your agency and employees of your contractors signed Standard Form 189 or a similar form during calendar years 1984 and 1985, which require nondisclosure of classified information? (Non-disclosure agreements that contain pre-publication review provisions should be included in question 21. Please attach copies of other agreements.)

<u>SF 189</u>	<u>1984</u>	<u>1985</u>
Agency employees	_____	_____
Contractor employees	_____	_____
<u>Other Agreements with Non-disclosure provisions</u>	<u>1984</u>	<u>1985</u>
Agency employees	_____	_____
Contractor employees	_____	_____

27. During calendar years 1984 and 1985, did your agency experience any unauthorized disclosures of classified information? (Check one).

	1984	1985
Yes	_____	_____
No (Please skip to Question 31)	_____	_____

28. For calendar years 1984 and 1985, please indicate the total number of unauthorized disclosures, the number of unauthorized disclosures made through books, articles, speeches, written or given by then-current and former employees, and the number which were not reported to the Department of Justice.

	<u>1984</u>	<u>1985</u>
Total number of known unauthorized disclosures	_____	_____
Number not reported to Department of Justice	_____	_____
Number made through published writings or speeches by:		
a. then-current employees, or	_____	_____
b. former employees	_____	_____

29. How many unauthorized disclosures were investigated by your agency or referred to another agency for investigation during calendar years 1984 and 1985?

	<u>1984</u>	<u>1985</u>
Number of cases investigated by your agency	_____	_____
Number of cases referred to another agency for investigation, after your investigation was completed.	_____	_____
Number of cases referred to another agency for investigation, that your agency did not investigate.	_____	_____

30. How many employees of your agency and employees of your contractors were denied further access to classified information, because of their unwillingness to cooperate with the investigation of an unauthorized disclosure (because the use of the polygraph was involved or for other reasons), during calendar years 1984 and 1985? How many were subjected to other administrative sanctions?

	<u>1984</u>		<u>1985</u>	
<u>Employees denied further access to classified information</u>	<u>Polygraph Involved</u>	<u>Other Reasons</u>	<u>Polygraph Involved</u>	<u>Other Reasons</u>
Agency	_____	_____	_____	_____
Contractors	_____	_____	_____	_____
<u>Employees subjected to other administrative sanctions</u>				
Agency	_____	_____	_____	_____
Contractors	_____	_____	_____	_____

31. Please indicate which of your agency's policies and procedures governing contacts between your employees and media representatives are for national security reasons. Also, explain or provide documentation explaining the method by which your agency assures that all employees with security clearances are apprised of these policies and procedures.

32. Please enter below the name, title, and telephone number of the persons to be contacted if clarification or additional information is needed:

Agency: _____

Name: _____

Title: _____

Location: _____

Telephone number : (Area Code) _____ (Number) _____

If you have any questions, please contact either GAO staff member:

Mr. Jim Reid, FTS 275-5352 or Mr. Irv Boker, FTS 275-3973

Thank you for your time. Please return the completed questionnaire to:

Mr. Jim Reid, Room 4100
U.S. General Accounting Office
Washington, D.C. 20548